



03 CO  
#4

Dkt.0575/58715-A-PCT-US/JPW/ADM

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Leslie B. Vosshall, et al.  
U.S. Serial No : 09/932,227  
Filed : August 17, 2001  
For : GENES ENCODING INSECT ODORANT RECEPTORS AND  
USES THEREOF

1185 Avenue Of The Americas  
New York, New York 10036  
November 21, 2001

Commissioner for Patents and Trademarks  
2900 Crystal Drive  
Arlington, VA 22201-3513

Sir:

**TRANSMITTAL OF VERIFIED STATEMENTS  
(DECLARATION) CLAIMING SMALL ENTITY STATUS UNDER  
37 C.F.R. §1.9(f) AND §1.27(d)**

The Trustees Of Columbia University In The City Of New York, the coassignee, submits herewith a Verified Statement (Declaration) Claiming Small Entity Status Under 37 C.F.R. §1.9(f) and §1.27(d) as **Exhibit A**. This Verified Statement is signed by Michael J. Cleare, the authorized official of the coassignee of record, The Trustees Of Columbia University In The City Of New York.

Sentigen Corp., the coassignee, submits herewith a Verified Statement (Declaration) Claiming Small Entity Status Under 37 C.F.R. §1.9(f) and §1.27(d) as **Exhibit B**. This Verified Statement is signed by Kevin J. Lee, the authorized official of the coassignee of record, Sentigen Corp.

No fee is deemed necessary in connection with the filing of this Communication. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 03-3125.

Respectfully submitted,

John P. White  
Registration No. 28,678  
Attorney for Applicants  
Cooper & Dunham LLP  
1185 Avenue of the Americas  
New York, New York 10036  
(212) 278-0400

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to:  
Commissioner for Patents and Trademarks  
2900 Crystal Drive  
Arlington, VA 22202-3513

John P. White  
Reg. No. 28,678  
Date 11/21/01

Applicant or Patentee: Leslie B. Vosshall, et al. Attorney's  
Serial or Patent No.: 09/932,227 Docket No: 58715-A-PCT-US  
Filed or Issued: August 17, 2001  
Title of Invention or Patent: GENES ENCODING INSECT ODORANT RECEPTORS AND USES  
THEREOF

VERIFIED STATEMENT (DECLARATION) CLAIMING  
SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)  
AND §1.27(d) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: The Trustees of Columbia University in the City of  
New York  
Address of Organization: West 116th Street and Broadway  
New York, New York 10027

TYPE OF ORGANIZATION:

☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3)  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
NAME OF STATE: \_\_\_\_\_  
CITATION OF STATUTE: \_\_\_\_\_  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
NAME OF STATE: \_\_\_\_\_  
CITATION OF STATUTE: \_\_\_\_\_

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)\* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled GENES ENCODING INSECT ODORANT RECEPTORS AND USES THEREOF

by inventor(s) Leslie B. Vosshall, Hubert O. Amrein, and Richard Axel  
described in:

☐ the specification filed herewith  
☒ application serial no. 09/932,227 filed August 17, 2001  
☐ patent no. \_\_\_\_\_ issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive each individual, concern, or organization known to have rights to the invention is listed below<sup>a</sup> and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d)\* or a nonprofit organization under 37 C.F.R. 1.9(e)\*

<sup>a</sup> NOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

Name: Sentigen Corp.  
Address: Audubon Biomedical Science and Technology Park  
3960 Broadway, New York, NY 10023  
☐ Individual ☒ Small Business Concern ☐ Nonprofit Organization

37 C.F.R. §§1.9(d), 1.9(e)

(d) A small business concern as used in this chapter means any business concern as defined by the Small Business Administration in 13 C.F.R. §121.3-18, published on September 30, 1982 at 47 FR 43273. For the convenience of the users of these regulations, that definition states:

§121.3-18 Definition of small business for paying reduced patent fees under Title 35, U.S. Code.

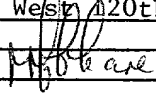
(a) Pursuant to Pub. L. 97-247, a small business concern for purposes of paying reduced fees under 35 U.S. Code 41(a) and (b) to the Patent and Trademark Office means any business concern (1) whose number of employees, including those of its affiliates, does not exceed 500 persons and (2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For the purpose of this section concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

(b) If the Patent and Trademark Office determines that a concern is not eligible as a small business concern within this section, the concern shall have a right to appeal that determination to the Small Business Administration. The Patent and Trademark Office shall transmit its written decision and the pertinent size determination file to the SBA in the event of such adverse determination and size appeal. Such appeals by concerns should be submitted to the SBA at 1441 L Street, NW., Washington, D.C. 20416 (Attention: SBA Office of General Counsel). The appeal should state the basis upon which it is claimed that the Patent and Trademark Office initial size determination on the concern was in error; and the facts and arguments supporting the concern's claimed status as a small business concern under this section.

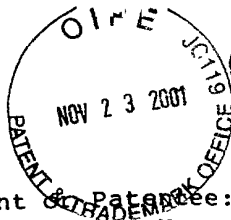
(e) A nonprofit organization as used in this chapter means (1) a university or other institution of higher education located in any country; (2) an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3)) and exempt from taxation under section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a)); (3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of this country (35 U.S.C. 201(i); or (4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e)(2) or (3) of this section if it were located in this country.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)\*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Michael J. Cleare, Ph.D.  
Title In Organization: Executive Director, Columbia Innovation Enterprise  
Address: Engineering Terrace-Suite 363, West 120th Street & Amsterdam Avenue  
New York, New York 10027 USA  
Signature:   
Date Of Signature: 08/21/01

[illegible][illegible]



Applicant & Patentee: Leslie B. Vosshall Attorney's  
Serial or Patent No.: 09/932,227 Docket No.: 58715-A-PCT-US  
Filed or Issued: 17 August 2001  
Title of Invention or Patent: GENES ENCODING INSECT ODORANT RECEPTORS AND USES  
THEREOF

VERIFIED STATEMENT (DECLARATION) CLAIMING  
SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)  
AND §1.27(c) - SMALL BUSINESS CONCERN

I hereby declare that I am:

         the owner of the small business concern identified below.  
  X   an official of the small business concern empowered to act on behalf of the  
concern identified below:

Name of Concern: Sentigen Corp.

Address of Concern: Audubon Biomedical Science and Technology Park  
3960 Broadway, New York, NY 10032

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. §121.3-18, reproduced in 37 C.F.R. §1.9(d), for purposes of paying reduced fees under 35 U.S.C. §41(a) and §41(b), in that the number of employees of the concern, including those of its affiliates, does not exceed five hundred (500) persons. For purposes of this verified statement, the number of employees of the business concern is the average number, over the previous fiscal year, of the persons employed by the business concern on a full-time, part-time, or temporary basis during each pay period of the fiscal year, and concerns are affiliates of each other when, either directly or indirectly, one concern controls or has power to control the other, or a third party or parties controls or has power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled

GENES ENCODING INSECT ODORANT RECEPTORS AND USES THEREOF  
described in:

         the specification filed herewith  
  X   application serial no. 09/932,227 filed August 17, 2001  
         patent no.                  issued                 

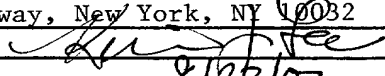
If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below<sup>a</sup> and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. §1.9(c)\*, any concern which could not qualify as a small business concern under 37 C.F.R. §1.9(d)\* or as a nonprofit organization under 37 C.F.R. §1.9(e)\*.

Name: The Trustees of Columbia University in the City of New York  
Address: West 116th Street and Broadway  
New York, New York 10027  
         Individual          Small Business Concern   X   Nonprofit Organization

<sup>a</sup> NOTE: Separate verified statements are required for each named person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)\*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Kevin J. Lee, Ph. D.  
Title In Organization: Sentigen Corp.  
Address: Audubon Biomedical Science and Technology Park  
3960 Broadway, New York, NY 10032  
Signature:   
Date Of Signature: 8/22/07